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PTO/SB/08A (10-96)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO
(Modified by BSTZ 6/30/99)**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Complete if Known

Application Number 09/733,767

Filing Date December 8, 2000

First Named Inventor Joseph Seamon

Group Art Unit Unknown

Examiner Name Unknown

Attorney Docket Number 003801.P036

Sheet

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of

8

U.S. PATENT DOCUMENTS

Examiner Initials *	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
	Number				
HT	3,581,072		Nymayer	5/25/1971	3/28/1968
	3,573,747		Adams, et al.	4/6/1971	2/24/1969
	4,412,287		Braddock, III	10/25/1983	9/15/1982
	4,674,044		Kalmus, et al.	4/16/1997	1/30/1985
	4,677,552		Sibley, Jr.	6/30/1987	10/5/1984
	4,789,928		Fujisaki	12/6/1988	1/30/1987
	4,799,156		Shavit, et al.	1/17/1989	10/1/1986
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	4,903,201		Wagner	2/20/1990	11/3/1983
	5,063,507		Lindsey, et al.	11/5/1991	9/14/1990
	5,077,665		Sliverman, et al.	12/31/1991	5/25/1989
HT	5,101,353		Lupien, et al.	3/31/1992	5/31/1989

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	Office or Country	Number	Date			
HT	PCT	WO 92/15174	2/25/1992	Beaumont-Maxin International	9/3/1992	
HT	PCT	WO 96/34356	4/26/1996	Fleanet, Inc.	10/31/1996	
HT	PCT	WO 97/37315	3/19/1997	Onsale, Inc.	10/9/1997	

OTHER DOCUMENTS

Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
HT	MALONE, T.W.; YATES, J; et al., "Electronic Markets and Electronic Hierarchies", <u>Communications - of the ACM</u> , June 1987, Pages 484-497, Vol. 30, No. 6.	
HT	WARBELOW, A; KOKURYO, J, "Aucnet: TV Auction Network System". <u>Harvard Business School Case/Study</u> , July 1989, Pages 1-15, HBVR# 9-190-001, USA	
HT	"Personal Optimized Decision/Transaction Program", <u>IBM Technical Disclosure Bulletin</u> , January 1995, Pages 83-84, Vol. 38, No. 1	
HT	NEO, B.S, "The implementation of an electronic market for pig trading in Singapore", <u>Journal of Strategic Information Systems</u> , December 1992, pages 278-288, Vol 1	

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Sheet 2 of 8

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	Number				
HT	5,136,501		Silverman, et al.	8/4/1992	5/26/1989
	5,168,446		Wiseman	12/1/1992	5/23/1989
	5,243,515		Lee	9/7/1993	10/30/1990
	5,258,908		Hartheimer, et al.	11/2/1993	11/2/1990
	5,280,422		Moe, et al.	1/18/1994	11/5/1990
	5,297,031		Gutterman, et al.	3/22/1994	3/6/1990
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	5,325,297		Bird, et al.	6/28/1994	6/25/1992
	5,329,589		Fraser, et al.	7/12/1994	6/3/1993
	5,375,055		Togher, et al.	12/20/1994	2/3/1992
HT	5,394,324		Clearwater	2/28/1995	12/8/1993

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	Office or Country	Number	Date			
HT	Netherland	9300266	2.10.1993			No
HT	France	2658635-A1	2.6.1991			
HT	Canada	2,253,543	3/19/1997			Yes

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HT	ROCKOFF, T.E; GROVES, M., "Design of an Internet-based system for remote Dutch auctions", <u>Internet Research - Electronic Networking Applications and Policy</u> , January 1, 1995, Vol 5, No. 4, Pages 10-16.	
HT	MASSIMB, M.N; PHELPS, B.D, "Electronic Trading, Market Structure and Liquidity", <u>Financial Analysts Journal</u> , January - February 1994, Vol 50, No. 1, Pages 39-50.	
HT	POST, D.L; COPPINGER, S.S, et al., "Application of Auctions as a Pricing Mechanism for the Interchange of Electric Power", <u>IEEE Transactions on Power Systems</u> , August 1995, Pages 7, Vol. 10, No. 3.	
HT	HESS, C.M; KEMERER, C.F., "Computerized Loan Organization System: An Industry Case Study of the Electronic Markets Hypothesis", <u>MIS Quarterly</u> , September 1994, Vol. 18, No 3, Pages 251-274.	

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				Filing Date	December 8, 2000
				First Named Inventor	Joseph Seamon
				Group Art Unit	Unknown
				Examiner Name	Unknown
Sheet	3	of	8	Attorney Docket Number	003801.P036

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		Number			
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		5,553,145	Micali	9/3/1996	8/4/1995
		5,640,569	Miller, et al.	6/17/1997	4/28/1995
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		5,727,165	Ordish, et al.	3/10/1998	12/27/1994
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		5,818,914	Fujisaki	10/6/1998	3/27/1995
HT		5,826,244	Huberman	10/20/1998	8/23/1995

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HT		PCT	WO99/63461	12/9/1999			
		PCT	WO95/17711	6/29/1995			

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HT		RECK, Martin, "Formally Specifying and Automated Trade Execution System", <u>Journal of Systems and Software</u> , 1993, Pages 245-252, Vol. 21.	
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HT		LEE, Ho G., " Electronic Brokerage and Electronic Auction: The Impact of IT on Market Structures", <u>Proceedings of the 29th HICSS</u> , 1996, Pages 397-406, Vol. IV.	
HT		CLEMONS, E; WEBER, B., "Evaluating the Prospects for Alternative Electronic Securities Markets", <u>International Conference on Information Systems</u> , 1991, Pages 53-61, Vol 12.	

Examiner Signature	<i>Hauhlhar</i>	Date Considered	02/20/03
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				Filing Date		December 8, 2000	
				First Named Inventor		Joseph Seamon	
				Group Art Unit		Unknown	
				Examiner Name		Unknown	
Sheet	4	of	8	Attorney Docket Number		003801.P036	

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		Number			
HT		5,835,896	Fisher, et al.	11/10/1998	3/29/1996
HT		5,845,266	Lupien, et al.	12/1/1998	12/12/1995
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		4,864,516	Gathier, et al	9/5/1989	3/10/1986
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		5,694,546	Reisman	12/2/1997	5/21/1994
		5,706,457	Dwyer, et al.	1/6/1998	6/7/1995
HT		5,715,314	Payne, et al.	2/3/1998	10/24/1994

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OTHER DOCUMENTS			
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HT		MARDESICH, J., "Onsale takes auction gavel electronic", <u>Computer Reseller News</u> , July 8, 1996, Page 2 continued on Page 32.	
HT		"Onsale joins fray as online shopping picks up speed: INTERNET BOOMS", <u>Computer Reseller News</u> , June 5, 1995, Page 73 (www.dialogweb.com).	
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HT		"Onsale: Onsale Brings Thrill of Auctions and Bargain Hunting Online; Unique Internet retail service debuts with week-long charity auction for the Computer Museum in Boston", May 24, 1995, (pp 3) Dialog Web. 0489267 BW0022.	

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Sheet	5	of	8	Attorney Docket Number	003801.P036

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HT	5,771,380	Tanaka, et al.	6/23/1998	10/7/1996
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HT	SCHMID, B.F., "The Development of Electronic Commerce", <u>Newsletter of the Competence Centre Electronic Markets</u> , October 1993, No. 9/10.	
HT	TJOSTHEIM, I; EIDE, J., "A case study of an on-line auction for the World Wide Web", Norwegian Computing Center, No Date Given, www.nr.no/gem/elcom/publikasjoner/enter98e.html .	
HT	GRAHAM, I., "The Emergence of Linked Fish Markets in Europe", <u>Focus Theme</u> , No Date Given.	
HT	RECK, Martin, "Trading-Process Characteristics of Electronic Auctions", <u>Focus Theme</u> , No Date Given.	

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HT		5,991,739	Cupps, et al.	11/23/1999	11/24/1997
		6,035,402	Vaeth, et al.	3/7/2000	12/20/1996
		6,044,363	Mori, et al,	3/28/2000	9/2/1997
		6,055,518	Franklin, et al.	4/25/2000	11/12/1996
		6,058,417	Hess, et al.	5/2/2000	10/23/1998
		6,073,117	Oyanagi, et al.	6/6/2000	3/13/1998
		6,104,815	Alcorn, et al.	8/16/2000	1/9/1998
		5,715,314	Payne, et al,	2/3/1998	10/24/1994
		5,722,418	Bro	3/3/1998	9/30/1994
		5,799,285	Klingman	8/25/1998	8/30/1996
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HT	VAN HECK, E.; RIBBERS, P.M., "Experiences with Electronic Auctions in the Dutch Flower Industry", <u>Focus Theme</u> , No Date Given.	
HT	LEE, H.G., "AUCNET: Electronic Intermediary for Used-car Transactions", <u>Focus Theme</u> , No Date Given.	
HT	KLEIN, S., "Introduction to Electronic Auctions", <u>Focus Theme</u> , No Date Given	
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<i>Hanklha</i>	02/20/03	

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HT	5,722,418		Bro	3/3/1998	9/30/1994
HT	5,924,072		Havens	7/13/1999	1/6/1997
HT	5,874,412		Hazelhurst, et al.	10/26/1999	9/24/1997
HT	5,596,994		Bro	1/28/1997	5/2/1994

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HT	ZWASS, Vladimir, "Electronic Commerce: Structures and Issues", <u>International Journal of Electronic Commerce</u> , Fall 1996, Pages 3-23, Vol. 1, No. 1, pp 3-23 (www.cba.bgsu.edu).	
HT	PRIEST, Chris; van TOL, Maarten, "Adaptive agents in a persistent shout double auction", Proceedings of the First International Conference on Information and Computation Economies, October 25-28, 1998, Charleston, US.	
HT	RESNICK, Paul; ZECKHAUSER, Richard; FRIEDMAN, Eric; KUWABARA, Ko, "Reputation Systems", Association for Computing Machinery, <u>Communications of the ACM</u> , vol. 43, no. 12, pp 45-48 ((Dialog	
HT	MEADE, Jim, visual 360: a performance appraisal system that's "fun", <u>HR Magazine</u> , July, 1999 (Dialog file).	

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Sheet	8	of	8
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HT	International Search Report - PCT/US01/12398 - August 27, 2001	

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Joseph Seamon

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